



Connecticut Department of  
**Energy & Environmental Protection**  
 Bureau of Water Protection & Land Reuse  
 Water Planning & Management Division

## General Permit to Conduct Repairs and Alterations to Dams: Filing Only

### Form GP-015 - 3(a)1-No PE

Form for use by the dam owner or an associated party **without engineering oversight** to authorize activities in section 3(a)1 of the General Permit Filing Only Categories.

CPPU USE ONLY	
App #:	_____
Doc #:	_____
Check #:	_____
Program: Dam Safety General Permits EI: Dam Safety GP-015-3(a)1-No PE	

Please complete this form and include all indicated attachments to ensure the proper handling of your filing. Print or type unless otherwise noted. You must submit the filing fee along with this completed form and the required supplemental information and provide the notice to the municipality prior to initiating the proposed activities.

#### Part I: Filing Type (Check the box to acknowledge the type of filing).

This filing is: (check the box)		
<input type="checkbox"/>	A filing prepared by the dam owner or associated party for repair and alteration activities authorized under Section 3(a)1 of the General Permit to Conduct Repairs and Alterations to Dams, Filing Only Categories for activities to be conducted without professional engineering oversight.	
Town where Dam is located:	Name of Dam:	CT DamID#:
Brief Description of Project:		

#### Part II: Fee Information (Check or money order payable to: "Department of Energy and Environmental Protection")

A fee must be submitted with this filing. The fee for municipalities is 50% of the filing fee. The filing will not be processed and the authorization is not activated without the fee. The fee is non-refundable.		
All work authorized by this filing must be completed and the reporting and record keeping requirements of Section 5(b) of the subject general permit must be complied with before a subsequent filing will be accepted.		
General Permit to Conduct Repairs and Alterations to Dams (DEEP-IWRD-GP-015)		Fee
<input type="checkbox"/>	Filing Fee for activities authorized under Section 3(a)1 of the General Permit: [#2066]	\$100.00
<input type="checkbox"/>	Indicate whether a 50% municipal discount applies. Less Applicable Discount:	-
	Amount Remitted:	

### Part III: Filing Party / Registrant Information

- If the party filing is a corporation, limited liability company, limited partnership, limited liability partnership, or a statutory trust, it must be registered with the Secretary of State. If applicable, the filing party's name shall be stated **exactly** as it is registered with the Secretary of State. Please note, for those entities registered with the Secretary of State, the registered name will be the name used by DEEP. This information can be accessed at the Secretary of State's database ([CONCORD](#)).
- If the party filing is an individual, provide the legal name (include suffix) in the following format: First Name; Middle Initial; Last Name; Suffix (Jr, Sr., II, III, etc.).
- If there are any changes or corrections to your company/facility or individual mailing or billing address or contact information, please complete and submit the [Request to Change Company/Individual Information](#) to the address indicated on the form. If there is a change in name of the entity holding a DEEP license or a change in ownership, contact the Office of Planning and Program Development (OPPD) at 860-424-3003 or [DEEP.OPPD@ct.gov](mailto:DEEP.OPPD@ct.gov). For any other changes you must contact the specific program from which you hold a current DEEP license.

1. Filing Party Name:			
Mailing Address:			
City/Town:	State:	Zip Code:	
Business Phone:	ext.:		
Contact Person:	Phone:	ext.	
*E-mail:			
<p>*By providing this e-mail address you are agreeing to receive official correspondence from DEEP, at this electronic address, concerning the subject filing. Please remember to check your security settings to be sure you can receive e-mails from "ct.gov" addresses. Also, please notify DEEP if your e-mail address changes.</p>			
a) Filing Party Type (check one):			
<input type="checkbox"/> individual	<input type="checkbox"/> federal agency	<input type="checkbox"/> state agency	<input type="checkbox"/> municipality <input type="checkbox"/> tribal
<input type="checkbox"/> *business entity (*If a business entity complete i through iii):			
i) check type: <input type="checkbox"/> corporation <input type="checkbox"/> limited liability company <input type="checkbox"/> limited partnership			
<input type="checkbox"/> limited liability partnership <input type="checkbox"/> statutory trust <input type="checkbox"/> Other: _____			
ii) Provide Secretary of the State business ID #: _____ This information can be accessed at the Secretary of State's database ( <a href="#">CONCORD</a> ).			
iii) <input type="checkbox"/> Check here if your business is <b>NOT</b> registered with the Secretary of State's office.			
<input type="checkbox"/> Check here if any co-filers. If so, attach additional sheet(s) with the required information as requested above.			
b) Filing Party's interest in the property and the dam at which the proposed activity is to be located:			
<input type="checkbox"/> site/property owner	<input type="checkbox"/> option holder	<input type="checkbox"/> lessee	<input type="checkbox"/> easement holder <input type="checkbox"/> operator
<input type="checkbox"/> other (specify): _____			

**Part III: Filing Party Information (continued)**

2. Primary contact for departmental correspondence and inquiries, if different than the filing party.

Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Contact Person:

Phone:

ext.

\*E-mail:

\*By providing this e-mail address you are agreeing to receive official correspondence from DEEP, at this electronic address, concerning the subject filing. Please remember to check your security settings to be sure you can receive e-mails from "ct.gov" addresses. Also, please notify DEEP if your e-mail address changes.

3. Consultant employed or retained to assist in preparing the form or the work on the dam (if applicable).

Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Contact Person:

Phone:

ext.

E-mail:

Service Provided:

4. Owner of the land containing all or part of the dam, if different than the filing party:

Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Contact Person:

Phone:

ext.

E-mail:

List the municipal assessor's map/block/lot numbers of the parcel containing all or part of the dam.

Town:

Map:

Block

Lot

Check here if additional sheets are necessary to list additional owners of property containing the dam, and label and attach them to this sheet.

## Part IV: Site Information

1. **DAM and WATERBODY NAME, LOCATION, USE, and PROPOSED DATES OF ACTIVITIES.** Please provide the following general information regarding the subject dam and impoundment.

- a. Name of Dam: \_\_\_\_\_ CT DamID: \_\_\_\_\_
- b. Name(s) of Waterbody: \_\_\_\_\_
- c. Nearest Street Address to the dam: # & Street: \_\_\_\_\_ City/Town: \_\_\_\_\_
- d. Instructions for access to the dam: \_\_\_\_\_
- e. Location of dam: Latitude \_\_\_\_\_ Longitude (-) \_\_\_\_\_  
*Note: Available from online maps. A labeled location map should be included as Attachment 2.*
- f. Describe the uses of the dam and impounded water: \_\_\_\_\_
- g. Proposed date of initiation of the activities to be authorized: \_\_\_\_\_  
*Note: Section 5(b) of the subject general permit requires a notice to DEEP if the activity is not initiated within 60 days of the date of filing.*
- h. Estimated date of completion of the activities to be authorized: \_\_\_\_\_  
*Note: The permit allows up to 3 years to complete the work. Section 5(b) of the subject general permit requires completion notices and reports.*

2. **DAM TYPE, SIZE, and IMPOUNDMENT CAPACITY.** These parameters are used in Parts V-1 and V-2 below. If unsure of any of these parameters, please contact the DEEP Dam Safety program permitting staff at 860-424-3706 or by email at [DEEP.DamSafety@ct.gov](mailto:DEEP.DamSafety@ct.gov)

- a. Enter the official Dam Height: \_\_\_\_\_ ft.
- b. Enter the official Dam Length: \_\_\_\_\_ ft.
- c. Enter the official Impoundment Storage volume: \_\_\_\_\_ acre feet.
- d. This dam is an (check one):  Earth Embankment Dam  Concrete Gravity Dam

*Note: earthen dams including concrete or masonry walls are considered Earth Embankment Dams. The dam must be 15 feet in height or less and impound 50 acre feet or less of water at the normal water level.*

3. **FISHERIES REVIEW- DRAWDOWN OF IMPOUNDMENT.** Is an impoundment drawdown of more than 3" inches below the principal spillway necessary for the completion of any of the activities for which authorization is sought?  Yes  No

If **yes**, before you file this application, you must contact the DEEP Inland Fisheries division for a consultation regarding your proposal. Identified fisheries interests at the subject dam typically must be incorporated into the project.

The consultation is usually initiated by submitting the form entitled "[Request for Determination of Need for Fishway for Dam Safety Permit](#)". Once you have heard back from the Inland Fisheries staff, include a copy of your request, the response you received, and include how you have incorporated the requirements of the staff with this filing as Attachment 3.

4. **NATURAL DIVERSITY DATA BASE (NDDDB) - ENDANGERED OR THREATENED SPECIES:** According to the most current "Natural Diversity Data Base Areas Maps", will the activity which is the subject of this application, including all impacted areas, be located within an area identified as, or otherwise known to be, a habitat for state listed endangered, threatened or special concern species?

Yes  No Date of Map: \_\_\_\_\_

If yes, complete and submit a [Request for NDDDB State Listed Species Review Form](#) (DEEP-APP-007) to the address specified on the form, **prior** to submitting this application. Please note NDDDB review generally takes 4 to 6 weeks and may require the applicant to produce additional documentation, such as ecological surveys, which must be completed prior to submitting this permit application. A copy of the NDDDB Determination response letter that has not expired **must** be submitted with this completed application as Attachment 4. Include a copy of any mitigation measures developed for this activity and approved by NDDDB. Be aware that you must renew your NDDDB Determination if it expires before project work commences.

For more information visit the DEEP website at [Endangered-Species-ReviewData-Requests](#) or contact the NDDDB at [deep.nddbrequest@ct.gov](mailto:deep.nddbrequest@ct.gov).

## Part IV: Site Information (continued)

- 5. FILL IN WETLANDS.** Does the proposed work include any filling of federally regulated wetlands?  
 Yes  No If **yes**, before you file this application, you must contact the US Army Corps of Engineers and file Appendix 1a: Category 1 Certification Form and obtain coverage under the Department of the Army General Permit for the State of Connecticut. Category 1 is generally applicable to authorize fill areas less than 5000 square feet. A copy of the Category 1 Certification form and return confirmation from the US Army Corps of Engineers that the activity is covered within Category 1 of that general permit must be included with this filing as Attachment 5. Projects with greater than 5000 square feet of wetlands filling are not eligible under this general permit.
- 6. BEST MANAGEMENT PRACTICES.** Will the proposed activities occur in or will equipment traverse wetlands or floodplains or watercourses to reach work areas with the potential to cause erosion and sedimentation or release pollution?  Yes  No If **yes**, a detailed description of the pollution prevention and best management practices that will be implemented to minimize construction in and disturbance of floodplains, wetlands, and watercourses, and prevent pollution is required and must be included as Attachment 6. If no, include an explanation as to why and include as Attachment 6.
- 7. AQUIFER PROTECTION AREAS:** Is the site located within a mapped Level A or Level B [Aquifer Protection Area](#), as defined in CGS section 22a-354a through 22a-354bb?  
 Yes  No If **yes**, check one:  Level A or  Level B  
If **Level A**, are any of the [regulated activities](#), as defined in RCSA section 22a-354i-1(34), conducted on this site?  Yes  No  
If **yes**, and your business is **not** already registered with the Aquifer Protection Program, contact [local aquifer protection agent](#) or DEEP to take appropriate actions.  
For more information on the Aquifer Protection Area Program visit the DEEP website at [Aquifer Protection](#) or contact the program at [DEEP.AquiferProtection@ct.gov](mailto:DEEP.AquiferProtection@ct.gov).
- 8. NOTICE TO MUNICIPALITY:** Have you submitted the required [Notice to Municipality](#) and obtained a copy of the submitted notice showing the municipal received stamp?  
 Yes  No If **yes**, Include the copy of the submitted notice as Attachment 7. If **no**, be advised that the work cannot start until minimally 2 weeks after submitting the notice to the municipality and the copy of the submitted notice must be received by DEEP before beginning work.
- 9. CONSERVATION OR PRESERVATION RESTRICTION:** Is the property subject to a conservation or preservation restriction?  Yes  No  
If **Yes**, proof of written notice of this filing to the holder of such restriction or a letter from the holder of such restriction verifying that this filing is in compliance with the terms of the restriction, must be submitted as Attachment 8.
- 10. INDIAN LANDS:** Is the dam located on federally recognized Indian lands?  Yes  No
- 11. COASTAL BOUNDARY:** Will the activity which is the subject of this application be located within the coastal boundary as delineated on DEEP approved coastal boundary maps?  Yes  No  
If yes, and this application is for a new authorization or a modification of an existing authorization where the physical footprint of the subject activity is modified, submit a [Coastal Consistency Review Form](#) (DEEP-APP-004) with this completed application as Attachment 9.  
Information on the coastal boundary is available at [www.cteco.uconn.edu/map\\_catalog.asp](http://www.cteco.uconn.edu/map_catalog.asp) (Select the town and then select coastal boundary. If the town is not within the coastal boundary you will not be able to select the coastal boundary map.) or the local town hall or on the "Coastal Boundary Map" available at DEEP Maps and Publications (860-424-3555).

## Part V: DAM REPAIR AND ALTERATION SPECIFIC INFORMATION

To complete the sections below, you must refer to the [General Permit to Conduct Repairs and Alterations to Dams - Filing Only Categories \(DEEP-IWRD-GP-015\)](#) Eligible Activities begin on Page 7.

Place a check in the box for each activity you propose to conduct at the dam under this filing and complete the questions to describe the extent of the activity as within the limits of the subject general permit.

The dam must be 15 feet in height or less and impound 50 acre feet or less of water at the normal water level.

The maximum amounts of work allowed under this filing are indicated in each section. Refer to the permit for additional details and limitations. If the amount of work proposed exceeds these limits, please refer to Section 3(a)2 of the subject general permit or refer to permit DEEP-IWRD-GP-016.

You must prepare and include a report labeled Attachment 1 which will provide a more detailed description of the proposed work as required. See Part VI below for descriptions of these required attachments.

### Part V. Activities which may be conducted with Connecticut licensed professional engineer oversight.

Refer to Section 3(a)1 of the subject general permit for the following activities: (check all that apply)

- a)  **Replacing missing and storm scoured riprap on dams along embankments, spillways.**  
*You may restore up to 25 square yards of missing or storm scoured riprap per filing.*

Proposed total area of riprap restoration under this filing:                      square yards.

- b)  **Restoring minor eroded areas such as tire ruts, pedestrian erosion, and bare spots.**  
*You may restore all minor erosion areas by hand only no machinery allowed using proper fill, topsoil seed, hay mulch to reestablish grass cover.*

- c)  **Filling Animal Burrows in downstream slopes only.**  
*You may fill up to 15 burrows with a maximum depth of 3 feet per filing.*

Proposed number of animal burrows to be filled under this filing:                      burrows

- d)  **Patching of spalling and sealing of concrete surfaces done by hand.**  
*You may patch and seal up to 500 square feet and 1" depth of patch material per filing.*

Proposed total area of patching under this filing:                      square feet.

- e)  **Repair of Cracks in Concrete using appropriate repair material.**  
*You may repair up to 200 linear feet per filing.*

Proposed total length of crack repair under this filing:                      linear feet.

- f)  **Repair of Concrete Structures on the dam done by hand.**  
*You may use up to 1 cubic yard (54 ½-cubic foot ready mix bags) per filing.*

Proposed volume of concrete structure repair under this filing:                      cubic yard.

- g)  **Repointing masonry on upstream face, crest, and appurtenant structures.**  
*You may use up to ¼ cubic yard (14 ½-cubic foot ready mix mortar bags) per filing.*

Proposed volume of mortar for repointing under this filing:                      cubic yard.

## Part VI: Supporting Documents

Check the applicable box below for each attachment being submitted with this filing form. When submitting any supporting documents, please label the documents minimally with the Dam name and DamID#, date of filing and be sure to include the Filing Party's name.

- Attachment 1: For proposed activities checked in Part V, include a report using photographs, sketches, diagrams, and narrative descriptions prepared by the filing party or associated party as necessary to depict the existing conditions and the proposed areas and quantities of repairs to be conducted. All such documents shall minimally be labeled with the CT Dam ID#, the dam name, the town, the dam owner's name, and the date of the filing.
- Attachment 2: Location Map. Include an 8.5" x 11" map with a minimum scale of 1:24,000 which includes labels indicating the location of the dam, street names, municipality name, the name of the dam, the CT DamID#, north arrow, and includes an arrow indicating the nearest location (street) address for access to the dam.
- Attachment 3: The response from the DEEP Inland Fisheries Division (IFD) to the filing of the consultation form regarding the fishway determination and any concerns regarding the proposed drawdown and fisheries interests, if applicable.
- Attachment 4: A copy of the NDDDB Determination response letter that has not expired, if applicable. Include a copy of any mitigation measures developed for this activity and approved by NDDDB. Do *not* submit any NDDDB Preliminary Site Assessments with your application. Be aware that you must renew your NDDDB Determination if it expires before project work commences.
- Attachment 5: Confirmation from the US Army Corps of Engineers (USACE) in response to the Category 1 self certification filing stating that the activity is covered within Category 1 of the USACE Connecticut general permit, or that no permit is required, if applicable.
- Attachment 6: Include a description of the pollution prevention and best management practices that will be implemented to minimize construction in and disturbance of floodplains, wetlands, and watercourses, and prevent pollution. This may be omitted if there will be no activities or vehicular passage across these areas.
- Attachment 7: A copy of the filed [Notice to Municipality](#) (using form: DEEP-IWRD-GP-014-015-016 Notice) which shows the stamp of the municipality indicating the date the notice was delivered to the municipality.
- Attachment 8: Include proof of written notice of this filing to the holder of such restriction or a letter from the holder of such restriction verifying that this filing is in compliance with the terms of the restriction Conservation or Preservation Restriction Information, if applicable.
- Attachment 9: [Coastal Consistency Review Form](#) (DEEP-APP-004), if applicable.

**Part VII: Filer Certification**

The Filer *and* the individual(s) responsible for actually preparing the filing must sign this part. A filing will be considered incomplete unless all required signatures are provided. [If the filer is the preparer, please mark N/A in the spaces provided for the preparer.]

“I have personally examined and am familiar with the information submitted in this document and all attachments thereto, and I certify that based on reasonable investigation, including my inquiry of the individuals responsible for obtaining the information, the submitted information is true, accurate and complete to the best of my knowledge and belief.

I certify that this general permit filing is on complete and accurate forms as prescribed by the commissioner without alteration of the text.

I have read the general permit and agree to comply with the terms and conditions of the General Permit to Conduct Dam Repairs and Alterations – GP-015 Filing Only Category.

I understand that a false statement in the submitted information may be punishable as a criminal offense, in accordance with section 22a-6 of the General Statutes, pursuant to section 53a-157b of the General Statutes, and in accordance with any other applicable statute.”

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Signature of Filing Party	Date
Name of Filing Party (print or type)	Title (if applicable)
Signature of Preparer (if different than above)	Date
Name of Preparer (print or type)	Title (if applicable)

Check here if additional signatures are required. If so, please reproduce this sheet and attach signed copies to this sheet. You must include signatures of any person preparing any report or parts thereof required in this filing (i.e., professional engineers, surveyors, soil scientists, consultants, etc.)

Note: Please submit **ONE** COPY of this completed Filing Form, Fee, and all Supporting Documents to:

CENTRAL PERMIT PROCESSING UNIT  
 DEPARTMENT OF ENERGY AND ENVIRONMENTAL PROTECTION  
 79 ELM STREET  
 HARTFORD, CT 06106-5127

**Please also submit an electronic copy to [DEEP.DamSafety@ct.gov](mailto:DEEP.DamSafety@ct.gov)**